

07/16/03  
18334 U.S. PTO

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

**APPLICATION ELEMENTS**

See MPEP Chapter 600 concerning utility patent application contents.

1. [x] Fee Transmittal Form  
(Submit an original and a duplicate for fee processing)
2. [x] Applicant claims small entity status.  
See 37 CFR 1.27.
3. [x] Specification [Total Pages 27]  
(preferred arrangement set forth below)  
 - Descriptive title of the invention  
 - Cross Reference to Related Applications  
 - Statement Regarding Fed sponsored R&D  
 - Reference to sequence listing, a table, or a computer program listing appendix  
 - Background of the Invention  
 - Brief Description of the Drawings (if filed)  
 - Detailed Description  
 - Claim(s)  
 - Abstract of the Disclosure
4. [x] Drawing(s) (35 USC 113) [Total Sheets 3]
5. Oath or Declaration [Total Pages ]  
 a. [ ] New executed (original or copy)  
 b. [ ] Copy from a prior application (37 CFR 1.63(d))  
     (for continuation/divisional with Box 17 completed)  
 i. [ ] **DELETION OF INVENTOR(S)**  
     Signed statement attached deleting inventor(s)  
     named in the prior application, see 37 CFR 1.63(d)(2)  
     and 1.33(b).
6. [ ] Application Data Sheet. See 37 CFR 1.76

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

[ ] Continuation [ ] Divisional [x] Continuation-in-part (CIP) of prior application no. 09/813,808 filed 3.22.2001  
 Prior application information which is a Provisional Application, Serial No. 60/224,351 filed 11 August 2000.

Prior application information: Examiner: unassigned Art Unit: 2161

For CONTINUATION OR DIVISIONAL APPLICATIONS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**18. CORRESPONDENCE ADDRESS**[X] Customer Number or Bar Code Label [ **23767** ] or [ ] Correspondence address below

Name	Preston Gates Ellis & Rouvelas Meeds LLP			
Address	1735 New York Avenue NW, Suite 500			
City	Washington	State	DC	Zip Code
Country	USA	Telephone	202-628-1700	Fax
Name (Print/Type)	Jeff Schwartz			Registration No. (Attorney/Agent)
Signature				Date 16 July 2003

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Box Patent Application, Washington, DC 20231.

10/6/19510 07/16/03

Attorney Docket No.	<b>48836-00002</b>
First Inventor	<b>Robert MAERZ</b>
Title	<b>Method and System for Offering Securities Based in Entertainment Concepts</b>
Express Mail Label No.	N/A

21908 U.S. PTO

ADDRESS TO:	Mail Stop Patent Application Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450
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7. [ ] CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)  
 a. [ ] Computer Readable Form (CRF)  
 b. Specification Sequence Listing on:  
     i. [ ] CD-ROM or CD-R (2 copies); or  
     ii. [ ] paper  
 c. [ ] Statement verifying identify of above copies

**ACCOMPANYING APPLICATION PARTS**

9. [ ] Assignment Papers (cover sheet & documents(s))
10. [ ] 37 CFR 3.73(b) Statement [ ] Power of (when there is an assignee) Attorney
11. [ ] English Translation Document (if applicable)
12. [x] Information Disclosure [x] Copies of IDS Statement (IDS)/PTO/SB/08a Citations
13. [ ] Preliminary Amendment
14. [x] Return Receipt Postcard (MPEP 503)  
     (Should be specifically itemized)
15. [ ] Certified Copy of Priority Document(s)  
     (if foreign priority is claimed)
16. [ ] Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i).  
 Applicant must attach form PTO/SB/35
17. [x] Other Unexecuted Declaration and Power of Attorney Check in the amount of \$645.00

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18334 U.S. PTO

Attorney Docket No. 48836-00002

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re U.S. Patent Application of

Robert MAERZ et al.

Serial No.: [not yet assigned]

Filed: 16 July 2003

For: **METHOD AND SYSTEM FOR OFFERING SECURITIES BASED IN ENTERTAINMENT CONCEPTS**

**PATENT OFFICE FEE TRANSMITTAL LETTER**

Commissioner for Patents  
Alexandria, VA 22313

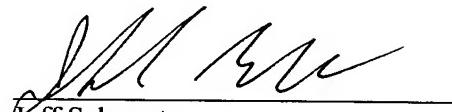
Sir:

The following fees are enclosed in connection with the filing of the attached papers:

**Basic Filing Fee (Small Entity).....\$375.00**  
**Thirty (30) Claims in Excess of Twenty .....270.00**

It is not believed that any further fees are due in connection with the filing of the attached papers. However, the Commissioner is authorized to charge any underpayment or credit any overpayment of fees to the undersigned's Deposit Account No. 50-1067. A duplicate of this paper is enclosed.

Respectfully submitted,

  
Jeff Schwartz  
Reg. No. 39,019

Date: 16 July 2003

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